

10/18/00  
JC943 U.S. PTO

10-19-00

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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No: 06011/36294A

10/18/00  
JC682 U.S. PTO  
09/691520

10/18/00

PATENT APPLICATION TRANSMITTAL UNDER 37 C.F.R. 1.53

*Box Patent Application  
Commissioner for Patents  
Washington, D.C. 20231*

Sir:

Transmitted herewith for filing is the patent application of

Inventor: David D. McAfee

Title: ENHANCED COOLING APPARATUS AND METHOD FOR ROTATING MACHINERY

1. Type of Application

- This is a new application for a
  - utility patent.
  - design patent.
- This is a continuation-in-part application of prior application no.

2. Application Papers Enclosed

- 1 Title Page
- 16 Pages of Specification (excluding Claims, Abstract, Drawings & Sequence Listing)
- 4 Page(s) of Claims
- 1 Page(s) of Abstract
- 7 Sheet(s) of Drawings (Figs. 1 to 15)
  - Formal
  - Informal
- Page(s) of Sequence Listing

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this Patent Application Transmittal and the documents referred to as enclosed therewith are being deposited with the United States Postal Service on October 18, 2000 in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No. EL566463577US.

  
Richard Zimmermann

**3. Declaration or Oath**

- Enclosed
- Executed by (check all applicable boxes)
- Inventor(s)
- Legal representative of inventor(s)  
(37 CFR 1.42 or 1.43)
- Joint inventor or person showing a proprietary interest on  
behalf of inventor who refused to sign or cannot be  
reached
- The petition required by 37 CFR 1.47 and the  
statement required by 37 CFR 1.47 are enclosed.  
See Item 5D below for fee.
- Not enclosed - the undersigned attorney or agent is authorized to file this  
application on behalf of the applicant(s). An executed declaration will  
follow.

**4. Small Entity Status**

- Applicant claims small entity status. See 37 CFR 1.27.
- A small entity statement is(are) attached.

**5. Additional Papers Enclosed**

- Preliminary Amendment
- Information Disclosure Statement
- Declaration of Biological Deposit
- Computer readable copy of sequence listing containing nucleotide and/or  
amino acid sequence
- Microfiche computer program
- Associate Power of Attorney
- Verified translation of a non-English patent application
- An assignment of the invention
- Return receipt postcard
- Other

**6. Priority Applications Under 35 USC 119**

Certified copies of applications from which priority under 35 USC 119 is claimed are

listed below and

- are attached.
- will follow.

| COUNTRY | APPLICATION NO. | FILED |
|---------|-----------------|-------|
|         |                 |       |
|         |                 |       |
|         |                 |       |
|         |                 |       |

7. Filing Fee Calculation (37 CFR 1.16)

A.  Utility Application

| CLAIMS AS FILED - INCLUDING PRELIMINARY AMENDMENT (IF ANY)              |           |           |              |          |                           |          |
|---|-----------|-----------|--------------|----------|---------------------------|----------|
|   |           |           | SMALL ENTITY |          | OTHER THAN A SMALL ENTITY |          |
|   | NO. FILED | NO. EXTRA | RATE         | Fee      | RATE                      | Fee      |
| BASIC FEE   |           |           |              | \$355.00 |                           | \$710.00 |
| TOTAL   | 21 - 20   | = 1       | X 9 =        | \$       | X 18 =                    | \$18.00  |
| INDEP.  | 2 - 3     | = 0       | X 40 =       | \$       | X 80 =                    | \$0      |
| <input type="checkbox"/> First Presentation of Multiple Dependent Claim |           |           | + 135 =      | \$       | + 270 =                   | \$       |
| Filing Fee:   |           |           |              | \$       | OR                        | \$728.00 |

B.  Design Application (\$160.00/\$320.00) Filing Fee: \$ \_\_\_\_\_

C.  Plant Application (\$245.00/\$490.00) Filing Fee: \$ \_\_\_\_\_

D. Other Fees

Recording Assignment [Fee -- \$40.00 per assignment] \$ 40.00

Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached [Fee -- \$130.00] \$ \_\_\_\_\_

Other \$ \_\_\_\_\_

Total Fees Enclosed \$ 768.00

**8. Method of Payment of Fees**

- Enclosed check in the amount of: \$768.00
- Charge Deposit Account No. 13-2855 in the amount of: \$\_\_\_\_\_  
A copy of this Transmittal is enclosed.
- Not enclosed

**9. Deposit Account and Refund Authorization**

The Commissioner is hereby authorized to charge any deficiency in the amount enclosed or any additional fees which may be required during the pendency of this application under 37 CFR 1.16 or 37 CFR 1.17 or under other applicable rules (except payment of issue fees), to Deposit Account No. 13-2855. A copy of this Transmittal is enclosed.

Please refund any overpayment to Marshall, O'Toole, Gerstein, Murray & Borun at the address below.

**10. Correspondence Address**

Customer No.: 04743

Respectfully submitted,

MARSHALL, O'TOOLE, GERSTEIN,  
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By:

*Bryan J. Lempia*  
Bryan J. Lempia  
Reg. No: 39,746

October 18, 2000

PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

10/23/2000 NROCHA1 00000109 09691520

01 FC:101 710.00 OP  
02 FC:103 18.00 OP

10/23/2000 HNOOR1 00000012 09691520

01 FC:101 18.00 OP

Assignment date: 12/19/2000 HNOOR1  
10/23/2000 NROCHA1 00000109 09691520  
02 FC:103 10.00 OP

PTO-1556  
(5/87)